

IN THE SPECIFICATION

Please amend the paragraph on page 15, starting on line 21, as follows.

B1

Figure 15 is an operational flowchart illustrating a process of using the intercept application 1406 of the present invention. After starting at a state 1500, at a state 1502, the intercept application 1406 is registered with the operating system ~~1350~~ 1300 as an Active Document Server. This registration involves setting operating system registry settings that identify the intercept application 1406 and its registry settings with documents having a specific extension (in this case ".adt"), associating shell commands for specific actions (such as when a user or a program ask the operating system to open a document with an ".adt" extension), as well as the standard and required registry entries for all Active Document Server applications according to the Active Document Specification, including but not limited to associating the application with a unique CLSID.

Please amend the paragraph on pages 16 and 17, starting on line 27, as follows.

B2

In addition, various rules regarding the usage of the document are provided in connection with the document 1308. In one embodiment of the invention, the rules are encapsulated in the document 1308. In another embodiment of the invention, the rules are provided in a second document. The process for associating rules with a data object is described in further detail in U.S. Patent No. 5,845,281 to Benson, et al. It is noted that the document 1308 may optionally be created before the intercept application 1406 is registered with the operating system 1300. Finally, the document 1308 has its file extension changed to be associated with the external control agent 402. The external control application is the initial associated application here because of the secure nature of this particular embodiment. The external control agent 402 must verify that the user selecting document 1308 for use is allowed to open the document 1308 before its original content is ever provided to the user ~~and subsequently to the user.~~

Please amend the paragraph on page 17, starting on line 24, as follows.

B3
The dummy file is given the extension identifying the intercept application 1406, ".adt". The shell execution causes the hosting application ~~1402~~ 1302 to start according to the intercept application's registry settings for an 'open' shell command. Through the shell command, the operating system passes the dummy file to the hosting application 1302. The hosting application 1302 in this embodiment is Microsoft's Internet Explorer application. Internet Explorer serves a special role as an Active Document Container in that it allows the hosted Active Document Server to use its entire window acting in this way as the main application the user sees.

Please amend the paragraph on page 18, starting on line 1, as follows.

B4
At this point ~~when~~ Internet Explorer, the hosting application 1302, determines which Active Document Server it will need to load and host. The dummy file again designates the intercept application 1406 as its acting Active Document Server, through both an embedded CLSID and the appropriate file extension. The hosting application 1302 uses this information and the system registry settings to identify and locate the intercept application 1406. The hosting application 1302 then starts the intercept application 1406 as a subjugated and embedded Active Document Server according to the Active Document Specification, and passes it the dummy file. The dummy file also contains information identifying the document 1308, called the document identifier, within the external control agent 402. The intercept application 1406 then invokes the external control agent 402 to negotiate the opening of the document 1308 through an API to the external control agent 402.

Please amend the paragraph on page 20, starting on line 3, as follows.

B5
Continuing to a state 1518, the user accesses the document 1308 subject to the conditions imposed by the DCL 400 and the external control agent 402. When a user action is intercepted, i.e., e.g., attempting to edit a file, the intercept application 1406 applies the usage rules that have been provided by the external control agent 402 to determine whether the action is allowed. If the static permission flag for the selected action is set to false, the action is immediately vetoed. Also, a message is sent to the user indicating the action is not

BS
end

permitted. For example, the external control agent 402 may intercept a user action and require some form of payment before permitting implementation of the user action. (Further examples of how the external control agent 402 may monitor and augment implementation of user actions are discussed below.) To ensure proper operation of the hosting application 1302 that initiated the action, an appropriate return code is sent to the hosting application 1302, generally indicating that the action was completed successfully.